

**Upward Bound (UB), Upward Bound Math/Science (UBMS),
and Veterans Upward Bound (VUB) Programs**

**Instructions for Completing the Annual Performance Report
For Program Year 2001-02**

1. WHAT IS THIS PACKAGE?

This package contains the forms and instructions needed to prepare the annual performance report for the Upward Bound, Upward Bound Math/Science, and Veterans Upward Bound programs. The Department of Education uses the information provided in the performance report to assess a grantee's progress in meeting its approved goals and objectives and to determine a grantee's prior experience in accordance with the program regulations in 34 CFR 645.32.

2. WHAT ARE THE LEGISLATIVE AND REGULATORY AUTHORITIES TO COLLECT THIS INFORMATION?

- ◆ Title IV, Part A, Subpart 2, Chapter 1, Section 402A(c)(2) and Section 402C, of the Higher Education Act of 1965, as amended;
- ◆ The program regulations in 34 CFR Part 645; and
- ◆ Sections 75.590 and 75.720 of the Education Department General Administrative Regulations (EDGAR).

3. WHO MUST FILE THIS REPORT?

All grantees funded under the Upward Bound, Upward Bound Math/Science, and Veterans Upward Bound programs must submit annual performance reports as a condition of the grant award.

4. WHAT PERIOD OF TIME IS COVERED IN THE REPORT?

The report covers the 12-month grant (budget) period for which the grant has been made. This information can be found in Block 6 of the Grant Award Notification.

For the 2001-02 performance report, a grantee should report on all participants served by the project in program year 2001-02 and provide updated information on the academic progress of prior year participants (those served in program years 1999-2000 and 2000-2001 but not in 2001-2002).

Subsequent performance reports must include information on each student served by the project during the 12-month program year being reported as well as updated information on the academic progress of prior year participants. To the extent feasible, a project should provide updated information annually on the academic progress of prior year participants whose length of participation in the program was at least:

- ◆ One calendar year for regular Upward Bound students;
- ◆ Completion of the summer program for UB Math and Science participants; and
- ◆ Three-months of program participation for UB veterans.

In addition, a project is not expected to continue to follow-up on prior year participants who the project could not locate in the previous year's follow-up.

5. WHAT INFORMATION MUST BE SUBMITTED?

The report consists of three sections. Section I requests project identifying information; Section II contains detailed instructions for preparing a data file of individual participant information; and Section III requests a brief narrative discussion of project objectives and outcomes.

Since the goal of the Upward Bound program is to prepare participants for success in postsecondary education, a grantee is expected, to the extent practical and feasible, to track the academic progress of prior year participants through completion of a program of postsecondary education or for four-years, whichever is less. (34 CFR 645.31(c)(10) and 645.32(b)(5).

6. WHEN SHOULD THE REPORT BE FILED?

The annual report should be submitted electronically within 90 days after the end of each 12-month grant (budget) period.

7. HOW MAY THE REPORT BE SUBMITTED?

The entire report should be submitted via the World Wide Web. In addition, a grantee must submit, via fax, a signed copy of Section I of the report form that certifies that the information submitted electronically is accurate, complete, and readily verifiable.

The Web application for submitting the report electronically will be available around October 15, 2002 at the following web address:

<http://www.ed.gov/HEP/trio/ubperfreport.html>

Since the data being submitted contain confidential information on project participants, the Web site has been properly secured to ensure the data are only seen by authorized individuals and are protected from network hackers.

A grantee unable to submit the report via the World Wide Web should contact the assigned program specialist to discuss an alternate format for the data submission. Further, if for any reason you need to revise your performance report submission, please contact your assigned program specialist before re-submitting.

8. WHO MAY BE CONTACTED FOR ADDITIONAL INFORMATION CONCERNING THE SUBMISSION OF THE PERFORMANCE REPORT?

Please contact your assigned program specialist directly if you have questions regarding the performance report requirements.

If you have technical problems accessing the Web site or using the Web application, please contact the Help Desk by either telephone (703) 846-8233 X247 or email at UBHELPWEB@CBMIWEB.COM.

Upward Bound, Upward Bound Math-Science, and Veterans Upward Bound Programs Specific Instructions for Completing the Performance Report

SECTION I: PROJECT IDENTIFICATION, CERTIFICATION, AND WARNING

A. Identification

1. To begin completing this report on-line, you will need to enter your PR/Award number in the box provided on the Web page and then click start. You will then be asked to confirm that the PR/Award number and associated grantee name are correct. After completing this, the PR/Award number will be automatically inserted into line 1 of Section I of the report form. Your project's PR/Award number begins with the letter "P" and is eleven digits in length. This number can be found in Block 5 of the Grant Award Notification.
2. The name of the institution/agency awarded the grant funds will be automatically inserted into line 2.
3. Provide the complete address of the grantee organization listed in item #2.
4. Provide the name of the project director or other person that may be contacted for further information.
5. Provide the telephone number; fax number and electronic mailing address for the project director/contact person.
6. The project period covered by this report will automatically be inserted. These dates should correspond to the budget period found in Block 6 of the Grant Award Notification.
7. The type of report being submitted will be inserted automatically based on the project's PR/Award number.
8. Provide the name, telephone number, and electronic mailing address for the data entry person who has completed the online form.

B. Certification

The project director is the person responsible for administering the project in accordance with the terms and conditions of the grant.

The certifying official is the individual (successor or designee) who signed the grant application on behalf of the institution.

C. Warning

Further Federal funds or other benefits may be withheld under these programs unless this report is completed and filed as required by existing law (20 U.S.C. 1231a) and regulations (34 CFR 75.590 and 75.720)

SECTION II - A: RECORD STRUCTURE FOR PARTICIPANT LIST (Regular Upward Bound and Upward Bound Math/Science Projects)

Instructions for Completing Section II – A

Each grantee is required to submit **annually** detailed information on each student served by the project during the program year being reported as well as provide updated information on prior year participants. (Please refer to the introductory instructions for specific guidance regarding which participants to include in each year's report (**# 4 – *What Period of Time Is Covered In The Report***).

Each participant record must conform to the specifications described in this section of the report form. Section II-A contains 80 data fields.

Fields # 1 - 35 should be completed on all current and prior year participants.

Fields # 36 - 67 should be completed only for those project participants who received these services from the Upward Bound project during the current (2001-02) reporting period.

Fields # 68 - 71 are to be completed only by Upward Bound Math-Science projects.

Fields # 72 - 80 should be completed on all current and prior year project participants who have graduated from high school or completed a high school equivalency program.

General Instructions for the Participant List

A project should use the regulatory definition of a project participant in 34 CFR 645.6 to determine which ***current year project participants*** should be included on the data file:

Participant means an individual who –

- (1) Is determined to be eligible to participate in the project under 34 CFR 645.3;
- (2) Resides in the target area, or is enrolled in a target school, at the time of acceptance into the project; and
- (3) Has been determined by the project director to be committed to the project as evidenced by being allowed to continue in the project for at least –
 - (i) Ten days in a summer component if the individual first enrolled in an Upward Bound project's summer component; or
 - (ii) Sixty days if the individual first enrolled in an Upward Bound project's academic year component.

For the purpose of this report, ***prior year participants*** include those students who did not receive services during the current reporting period but whose length of participation in the program was at least:

- ◆ One calendar year for regular Upward Bound students; or
- ◆ Completion of the summer program for UB Math and Science participants.

A project should report annually on the academic progress of all prior year participants (as defined above) through college graduation or for four-years after completing secondary school, whichever is less. However, a project is not expected to continue to follow-up on prior year participants who the project determined in the previous year's follow-up could not be located.

Instructions for Completing the Date Fields (Fields #8, # 14, #15, #16, #73)

Please follow carefully the instructions provided in Section II-A. Review carefully the Valid Field Content column to ensure that the data submitted is in the correct format. It is extremely important that all date fields be 8 bytes and formatted as follows: 2 digits for month; 2 digits for day; two digits for century; and 2 digits for year. For example, a participant's birth date of January 1, 1982 would be formatted as follows: 01011982. Always use the zero before one-digit months and days.

Supplemental Definitions and Instructions

Field #2 Batch Year

Use the four-digit year provided on the form. This number will change with each year's submission. The Batch Year designates the fiscal year funding for the project period reported. TRIO grants are forward-funded. Therefore, as an example, fiscal year 2001 funds would be used to support project activities in the 2001-2002 program year. Thus, the data file for Batch Year 2001 would include information on project participants served or tracked during program year 2001-2002.

Field #10 Race/Ethnicity

The race/ethnicity categories used in this section are consistent with the Department of Education's policy on the collection of racial and ethnic information. These categories are defined as follows: **American Indian or Alaska Native** - A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliations or community recognition. **Asian** - A person having origins in any of the original peoples of the Far East, Southeast Asia, and the Indian subcontinent. This area includes, for example, China, India, Japan, Korea, and the Philippine Islands. **Black or African American** - A person having origins in any of the black racial groups of Africa. **Hispanic or Latino** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race. **White** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East. **Native Hawaiian or Other Pacific Islander** - A person having origins in any of the original peoples of Hawaii or other pacific islands such as Samoa and Guam. For those participants of a multi-racial background, include them in C7 for **more than one race reported**.

Field #11 Eligibility

The statute and regulations governing the Upward Bound program require that an individual, at the time of initial selection for the project, must be a "low-income individual," or a "potential first generation college student," (These terms are defined below.) Two-thirds of project participants each year must be both low-income and potential first-generation college students; the remaining one-third can be either low-income or potential first-generation college student.

Low-income individual means an individual whose family's taxable income did not exceed 150 percent of the poverty level amount in the calendar year proceeding the year in which the individual initially participated in the project. The poverty level amount is determined using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

Potential first-generation college student means (1) an individual neither of whose natural or adoptive parents received a baccalaureate degree; or (2) an individual who, prior to the age of 18, regularly resided with and received support from only one parent and whose supporting parent did not receive a baccalaureate degree; or (3) an individual who, prior to the age of 18, did not regularly reside with or receive support from a natural or adoptive parent.

Field #12 UB Initiative Participant

In fiscal year 2000 (program year 2000-2001), the Department awarded supplemental grants to some regular Upward Bound projects to encourage these projects to select and serve students who are at greatest risk of not graduating from high school or pursuing postsecondary education. In this field, please indicate if the UB participant was selected and served by the project as a result of the increased funding provided under the Upward Bound Program Participant Expansion Initiative. For projects that did not receive supplemental funding under this initiative, use "9" for "Not applicable."

Field #13 Target School

For each Upward Bound participant, please provide the 12-digit school identification number for the secondary school the UB participant attended at the time of entry into the project. The National Center for Education Statistics has assigned each school district a 7-digit ID number and each school within the district a 5-digit school ID. In this field, please provide the complete 12-digit number that consists of the 7-digit school district ID followed by the 5-digit school ID. These numbers can be obtained from the following web site:

<http://nces.ed.gov/ccdweb/school/school.asp>

At this web page, enter the schools district name or the county the school is in and the state. Click on search. Then under the School Name Column, select the name of your target school. Under the School District Information, you will find the NCES District ID (7 digits) and the NCES School ID (5 digits).

Field #14 Date of First Entry into Project

Use the date the student first participated in the Upward Bound project. This may be either the date the student was accepted into the project or the date of first service.

Upward Bound Math-Science Centers should use the date the student was accepted into the project or the date of the student first participated in activities sponsored by your Math-Science project. Do not use the date the students initially participated in a regular Upward Bound project or another Math-Science Center.

Field #18 Participant Status

For this field, please use the following definitions:

A **new participant** is an individual who participated in the Upward Bound project for the **first time** in this reporting period and who meets the definition of participant in 34 CFR 645.6 of the program regulations.

For Upward Bound Math/Science Centers, participants should be considered **new** if the reporting year is the first year the student has participated in the Upward Bound Math/Science project even if the students has previously participated in a regular Upward Bound project.

A **continuing participant** is an individual who participated in the program in both the current reporting period and the reporting period immediately proceeding.

A **re-entry participant** is an individual who did not participate in the program during the previous 12 month reporting period project but who has received services on a continual basis during this reporting period.

Note: The sum of the number of new, continuing, and re-entry participants should equal the total number of participants the projects served during the reporting period.

A **prior year participant** is an individual who participated in the Upward Bound program in a previous reporting period but who has not received services on a continual basis during the current reporting period.

Field #20 Academic Need

In accordance with 34 CFR 645.3 (c), a project, in selecting individuals to participate in an Upward Bound program, must determine the individual's need for academic support in order to pursue successfully a program of education beyond high school. In this field is a list of criteria commonly used by projects to determine an individual's need for services. Although many students may qualify for project services based on more than one of the listed categories, please select from the list the main category used to determine the individual's academic need for services. If needed, you may use "14 – Other" for categories of academic need not on the list. *Please, however, use the "Other" category sparingly.*

Field #21 Type of Standardized Tests Used to Measure Academic Skills

As required by the program regulations in 34 CFR 645.32 (b)(2), an Upward Bound project must assess the extent to which project participants have demonstrated improvements in academic skills and competencies as measured by standardized achievement tests and grade point averages. In this field is a list of some commonly used standardized achievement tests. Please indicate the test that was used to assess the student's academic achievement. Use "08" for "Other" if the test instruments used by the project is not listed. Use "99" if the project does not use standardized tests and leave the field blank if the participant has not been tested.

Please note that this field only requests information on the type of achievement tests used by the project. There are no fields on the participant record structure to determine the extent of a participant's improvement in academic skills and competencies. Therefore, a project should report on this prior experience criterion in Section III of this report.

Fields #22 and 23 PSAT and PLAN

Although most Upward Bound projects do not administer directly either of these tests to project participants, many high schools that Upward Bound participants are attending will use one of the following tests as an indicator of aptitude and readiness for postsecondary education:

- (1) the Preliminary Scholastic Achievement Test (PSAT) developed by ETS (Educational Testing Service) is frequently administered to high school sophomore to assess aptitude and readiness for postsecondary education. The score a student gets on the PSAT can be compared with the score a student gets on the Scholastic Achievement Test (SAT). Many high school junior and seniors planning on enrolling in postsecondary education programs take the SAT.
- (2) The PLAN developed American College Testing is given to high school sophomores to help students measure their current academic development. The PLAN includes achievement tests in English, Mathematics, Reading, and Science Reasoning. The score that a student gets on these tests can be compared with the American College Test (ACT). Many high school juniors and seniors planning on enrolling in postsecondary education programs take the ACT.

If the UB student has taken one of these tests, please provide the score in the appropriate field. If the student has not or will not take the test, please use "99" for "not applicable." If the student took the test but the school has not provided the data, leave this field blank for "unknown."

Fields #26 - 30 Grade Point Averages

A student's grade point average is one measure of a student's need for Upward Bound services and can provide one measure of improvements in academic skills and success in secondary education. In fields #26 and #28, please indicate the scale used by the target school to calculate grade point averages at the time of entry into the project and at the end of the reporting period. For schools that do not use a numeric scale, please use "3" for "Other." These fields will be the same unless the student has changed schools since beginning the program or if the target school has changed their grading system.

In fields #27, #29 and #30, please provide information on the cumulative grade point average of the Upward Bound student at the time the student first entered the project and at the beginning and ending of the reporting period. The cumulative grade point averages provided should be calculated on all courses taken.

Fields #31 - 35 SAT and ACT Tests

Many high school junior and seniors planning on enrolling in postsecondary education programs take the SAT or ACT tests or both. If the UB student has taken one or both of these

tests, please provide the score(s) in the appropriate fields. If the student has taken the test(s) more than once, you need only report the highest scores received on the complete test.

If the student has not yet or will not take the test, please use “9s” for “not applicable.” If the student took the test but the project does not know the results, leave this field blank for “unknown.”

For field #31, you may use “4 – Other” if the student has taken a college entrance examination other than the SAT and ACT test, such as the Advanced Placement, International Baccalaureate, and SAT II tests.

Fields #36 - 45 Academic Instruction

Complete these fields only for those project participants who received services from the Upward Bound project during the reporting period. **Leave these fields blank for prior year participants.**

Please note that these fields are designed to obtain a profile of the number of participants who have received formal instruction in subject areas authorized or permissible under the program. In accordance with the authorizing statute and section 645.11 of the program regulations, all Upward Bound projects that have received funding for at least two years must include as part of its core curriculum, instruction in: (1) mathematics through pre-calculus; (2) laboratory science; (3) foreign language; (4) composition; and (5) literature. However, it is not expected that all project participants will receive instruction in all the areas listed. Therefore, report only on the academic instruction the Upward Bound participant received directly from the project during the reporting period. Students who received instructions in a subject area during both the summer and academic year should be counted in both fields as appropriate. If an individual did not receive instruction in the topic area during the reporting period, use “0” for “not enrolled.”

Definitions applicable to these fields:

Instruction/tutorials means a formal, structured method for transmitting facts, information, understanding of the concept, and skills to students. Instruction usually includes lesson plans and assignments designed to help students achieve learning objectives.

Reading means instruction, tutorials or individualized assistance in improving a student’s phonetic ability and reading comprehension skills.

Computer Science means instruction, workshops, academic support, or tutoring to increase a participant’s knowledge and skills in using computer technology, including knowledge of the various computer languages, software applications, computer hardware, and World Wide Web applications.

Integrated Math and Science means learning in the context of real-world applications. It synthesizes practical application with theoretical knowledge to help students learn better from hands-on, applications-oriented instruction. It emphasizes applications of theory, problem solving and critical thinking to provide students with the skills in literacy, numeracy, computing, scientific methodology, and technology that post-secondary institutions recognize as a necessary foundation for further study in most fields.

Fields #46 - 50**High School and Postsecondary Credits**

Although not a requirement of an Upward Bound project, many Upward Bound participants receive high school and/or college credit for participation in the Upward Bound program and/or the Summer Bridge Component offered by many Upward Bound projects. These fields provide projects the opportunity to report on the high school and postsecondary credits earned by Upward Bound participants. If any or all of these fields do not apply, please use “9s” as specified for “not applicable.”

An Upward Bound project may provide a summer bridge component to those Upward Bound participants who have graduated from secondary school and intend to enroll in an institution of higher education during the following fall term. A summer bridge component provides participants with services and activities, including college courses that aid in the transition from secondary education to postsecondary education. (34 CFR 645.12(a)(2))

Fields #51 - 67**Other Services**

Complete these fields only for those project participants who received services from the Upward Bound project during the reporting period. **Leave these fields blank for prior year participants.**

These fields are designed to obtain a profile of the number of participants who have received the various services authorized under the program. Projects are not expected to provide all the services listed; neither are project participants expected to participate in all the allowable activities. Thus, report only on those services and activities the Upward Bound participant received during the reporting period. If an individual did not participate in an activity or the project did not provide this service, use the “9” for “not applicable.”

Use the following definitions in completing these fields:

Tutoring means individual or small group informal academic assistance provided by professional staff or students who are either part-time paid, volunteer, or internship-for-credit students.

Supplemental instruction means organized tutoring sessions for specific courses that are tied directly to the instruction in the courses.

College entrance exam preparation means workshops, tutoring, or individualized assistance specifically designed to help students meet scoring requirements on national or state standardized tests given to students for admission into a postsecondary educational institution.

Personal counseling means crisis intervention and assistance with personal problems and decisions.

Academic advising means assisting students in making educational plans, selecting appropriate courses, developing career plans, meeting academic requirements, and planning for graduation and further education.

Peer counseling/mentoring means a variety of personal or academic support provided by other high school or college students designed to help project participants adjust.

Professional mentoring means professionals, other than project staff, working with project students to expose them to career and other opportunities available to them.

Study skills means workshops, tutoring, or individualized assistance specifically designed to help students develop the skills necessary to succeed in academic programs.

Cultural activities means any project sponsored activities, such as field trips, special lectures, and symposiums, that have as their purpose the improvement of the project participants' academic progress and personal development.

Career awareness means project sponsored activities, such as field trips, special lectures, workshops to increase students knowledge of the various career opportunities available.

Campus visitations means project sponsored trips to postsecondary institutions for the purpose of acquainting students with institutions that the project participants may wish to attend.

Assistance with college admissions means workshops or individualized assistance to help participants complete college entrance applications.

Financial aid assistance means workshops or individualized assistance to help participants complete various financial aid applications, including scholarship applications, U.S. Department of Education federal student financial aid applications, and state applications for financial aid.

Family activities means events, workshops and meetings to which parents and other family members attend, including program orientation meetings, year-end award/recognition ceremonies, and activities designed to provide families with information on postsecondary educational opportunities and financial aid available.

Target school advocacy means project staff intervening with target school officials on behalf of a participant (i.e. individual meetings, academic advising, participating in parent- teacher conferences) to assist students in their academic efforts.

Work-study positions (as the term is used in the Higher Education Act of 1965, as amended in 1998, Section 402C(b)(10)) mean internships and/or employment provided or arranged for by the project for the purpose of exposing participants to careers requiring a postsecondary degree. Upward Bound students participating in one of these work-study positions may be paid a stipend of \$300 per month during June, July, and August. Include in this field only those work-study positions for which the Upward Bound participant received a stipend from the project. If an individual did not participate in this activity or the project did not provide this service, use "9" for "not applicable."

Employment means jobs of at least 10 hours per week arranged either by the project or by the Upward Bound participant that are separate from the Upward Bound program. In contrast to the "work-study" positions, these jobs are primarily to allow participants to earn some income while participating in the program.

Field #68 - 71 Upward Bound Math and Science Programs

If the project completing this report is not an Upward Bound Math/Science project, leave this section blank.

Field #68 Recruitment of UBM/S Participant

This field is included to gain information on the participant's involvement with other TRIO programs.

Use the following definition to complete fields # 69 -71.

Activities with professional mathematicians and scientists mean intensive workshops, symposiums, tutorials, instruction, and experimental activities conducted by professional mathematicians and scientists for the purpose of encouraging students to enroll in math and science programs in postsecondary education

Activities with math and science majors mean tutorials, supplemental instruction, experimental activities, and mentoring from college students majoring in math and science.

Research activities means experimental activities in math and science to study and/or apply the different types of disciplines to increase a student's understanding of how scientific research is conducted and/or mathematical concepts are applied.

Fields #72 - 80 Postsecondary Information

In these fields, please report on current and prior year project participants who have completed high school or a high school equivalency program.

Enter "9s" as specified in these fields for project participants who have completed their secondary education but who have not yet enrolled in a program of postsecondary education.

Enter "0s" in these fields if the postsecondary status of project participants is unknown.

Leave these fields blank for project participants who have not completed high school or a high school equivalency program.

Fields #74 - 75 School Code for Postsecondary Institutions

Provide the Title IV School Code/OPE ID Number (Office of Postsecondary Education Institutional Number) for the postsecondary institution the Upward Bound participant first attended (field # 74) and for the institution the participant was enrolled in at the end of the reporting period (field # 75). This is a six-digit number that is required on all Federal financial aid documents. Information regarding this number is included in Title IV School Code Directory and can be accessed on the World Wide Web:

<http://www.ed.gov/offices/OSFAP/Students/apply/search.html>.

Field #76 Student Financial Aid Awarded for Postsecondary Attendance

Report on the types of financial aid awarded (or to be awarded) current year participants who have enrolled or will enroll in a program of postsecondary education for the next academic term. You need only to report this information for the student's first enrollment in a program of postsecondary education. This information for this field may be obtained from the student's financial aid report or may be self-reported.

Fields #77 - 80 Postsecondary Status

For current year and prior year participants whose postsecondary education status is known, provide information on the student's postsecondary enrollment status during the reporting period, the student's college grade level and academic standing at the end of the reporting period, and if applicable, the degree or certificate completed. For those individuals who have completed their secondary education but who were not enrolled in a program of postsecondary education during this reporting period, use "9s" for "Not Applicable." For those individuals who could not be located, use "0s" for "Unknown."

In determining the student's postsecondary grade level, use the criteria of the student's postsecondary institution regarding grade level classifications and academic standing. Most postsecondary institutions use credits earned and grade point average to determine the college grade level.

For field # 80, indicate the highest degree completed during the reporting period. For students who have not yet completed their program of study, use "8."

SECTION II - B: RECORD STRUCTURE FOR PARTICIPANT LIST (Veterans Upward Bound and Math/Science Projects)

Instructions for Completing Section II – B.

Each grantee is required to submit **annually** detailed information on each student served by the project during the program year being reported as well as provide updated information on prior year participants. (Please refer to the introductory instructions for specific guidance regarding which participants to include in each year's report (**# 4 – *What Period of Time Is Covered In The Report***).

Each participant record must conform to the specifications described in this section of the report form. Section II-B contains 60 data fields.

Fields # 1 – 18 should be completed on current and prior year participants.

Fields # 19 - 47 should be completed only for those project participants who received these services from the Veterans Upward Bound project during the current (2001-02) reporting period.

Fields # 48 - 51 are to be completed only by Veterans Upward Bound Math/Science projects.

Fields # 52 - 60 should be completed on current and prior year project participants who have completed the educational requirements needed to enroll in a program of postsecondary education.

General Instructions for the Participant List

For the Veterans Upward Bound program, a ***current year project participant*** is one who enrolled in and participated in the educational programs offered by the project during the project year being reported.

For the purpose of this report, ***prior year participants*** include those students who did not receive services during the current reporting period but whose length of participation in the UB Veterans program was at least three months.

A project should report annually on the academic progress of prior year participants (as defined above) through college graduation or for four-years after completing secondary school, whichever is less. However, a project is not expected to continue to follow-up on prior year participants who the project determined in the previous year's follow-up were no longer in school or who could not be located.

Instructions for Completing the Date Fields (Fields, #8, #12, #53)

Please follow carefully the instructions provided in Section II-B. Review carefully the Valid Field Content column to ensure that the data submitted is in the correct format. It is extremely important that all date fields be 8 bytes and formatted as follows: 2 digits for month; 2 digits for day; two digits for century; and 2 digits for year. For example, a participant's birth date of

January 1, 1982 would be formatted as follows: 01011982. Always use the zero before one-digit months and days.

Supplemental Definitions and Instructions

Field #2 Batch Year

Use the four-digit year provided on the form. This number will change with each year's submission. The Batch Year designates the fiscal year funding for the project period reported. TRIO grants are forward funded. Therefore, as an example, fiscal year 2001 funds would be used to support project activities in the 2001-2002 program year. Thus, the data file for Batch Year 2001 would include information on project participants served or tracked during program year 2001-2002.

Field #10 Race/Ethnicity

The race/ethnicity categories used in this section are consistent with the Department of Education's policy on the collection of racial and ethnic information. These categories are defined as follows: **American Indian or Alaska Native** - A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliations or community recognition. **Asian** - A person having origins in any of the original peoples of the Far East, Southeast Asia, and the Indian subcontinent. This area includes, for example, China, India, Japan, Korea, and the Philippine Islands. **Black or African American** - A person having origins in any of the black racial groups of Africa. **Hispanic or Latino** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race. **White** - A person having origins in any of the original peoples of Europe, North Africa, or the Middle East. **Native Hawaiian or Other Pacific Islander** - A person having origins in any of the original peoples of Hawaii or other Pacific islands such as Samoa and Guam. For those participants of a multi-racial background, include them in C7 for **more than one race reported**.

Field #11 Eligibility

The statute and regulations governing the Upward Bound program require that an individual, at the time of initial selection for the project, must be a "low-income individual," or a "potential first generation college student," (These terms are defined below.) Two-thirds of project participants each year must be both low-income and potential first-generation college students; the remaining one-third can be either low-income or potential first-generation college student.

Low-income individual means an individual whose family's taxable income did not exceed 150 percent of the poverty level amount in the calendar year proceeding the year in which the individual initially participated in the project. The poverty level amount is determined using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

Potential first-generation college student means (1) an individual neither of whose natural or adoptive parents received a baccalaureate degree; or (2) an individual who, prior to the age of 18, regularly resided with and received support from only one parent and whose supporting parent did not receive a baccalaureate degree; or (3) an individual

who, prior to the age of 18, did not regularly reside with or receive support from a natural or adoptive parent.

Field #13 Educational Status

Please select from the categories listed.

Field #14 Employment Status

Please select from the categories listed on the employment status of participants at the time of entry into the project. If the participant did not provide this information, use “0” for “No response.”

Field #15 Disabled

Please indicate if the Veterans UB participant is disabled. If the participant did not provide this information, use “0” for “No response”.

Field #16 Participation Status

A **new participant** is an individual who participated in the Veterans Upward Bound project for the **first time** in this reporting period.

For a Veterans Upward Bound Math/Science Center, participants should be considered **new** if the reporting year is the first year the student has participated in the Veterans Upward Bound Math/Science project even if the students has previously participated in another TRIO project.

A **continuing participant** is an individual who participated in the project in both the current reporting period and the reporting period immediately proceeding.

A **re-entry participant** is an individual who attended but did not complete the educational program offered by the project in a previous reporting year and who has re-entered the program during the current reporting year.

Note: The sum of the new, continuing, and re-entry participants should equal the total number of participants the projects served during the reporting period.

A **prior year participant** is an individual who participated in the Veterans Upward Bound program in a previous reporting period, but who has not received services on a continual basis during the current reporting period.

Field #17 Length of Program Participation

Please select the range of months that best reflects the length of time the individual participated in the project. For continuing and re-entry participants, provide a total number of months the individual participated in the project on a continual basis.

Fields #19 - 25 Academic Instruction

Complete these fields only for those project participants who received services from the Veterans Upward Bound project during the reporting period. **Leave these fields blank for prior year participants.**

Please note that these fields are designed to obtain a profile of the number of participants who have received formal instruction in subject areas authorized or permissible under the program. In accordance with the authorizing statute and section 645.11 of the program regulations, all Upward Bound projects that have received funding for at least two years must include as part of its core curriculum, instruction in: (1) mathematics through pre-calculus; (2) laboratory science; (3) foreign language; (4) composition; and (5) literature. However, it is not expected that all project participants will receive instruction in all the areas listed. Therefore, report only on the academic instruction the Veterans Upward Bound participant received directly from the project during the reporting period.

Instruction means a formal, structured method for transmitting facts, information, understanding of the concept, and skills to students. Instruction usually includes lesson plans and assignments designed to help students achieve learning objectives

Reading means instruction, tutorials or individualized assistance in improving students phonetic ability and reading comprehension skills.

Computer Science means instruction, workshops, academic support, or tutoring to increase a participant's knowledge and skills in using computer technology, including knowledge of the various computer languages, software applications, computer hardware, and World Wide Web applications.

Fields #26 - 37 Other Services

Complete these fields only for those project participants who received services from the Veterans Upward Bound project during the reporting period. **Leave these fields blank for prior year participants.**

These fields are designed to obtain a profile of the number of participants who have received the various services authorized under the program. Projects are not expected to provide all the services listed; neither are project participants expected to participate in all the allowable activities. If the project participant received one of the listed services, use a "1" for yes; otherwise, use a "2" for no.

Use the following definitions in completing these fields:

College survival/study skills means workshops, tutoring, or individualized assistance specifically designed to help students develop the skills necessary to succeed in academic programs.

Tutoring means individual or small group informal academic assistance provided by professional staff or students who are either part-time paid, volunteer, or internship-for-credit students.

GED/high school equivalency assistance means workshops, individualized assistance, or tutoring needed to obtain the knowledge and skills necessary to pass the high school equivalency exam

Personal counseling means crisis intervention and assistance with personal problems and decisions.

Academic advising means assisting students in making educational plans, selecting appropriate courses, meeting academic requirements, and planning for further education.

Career awareness means project sponsored activities, such as field trips, special lectures, workshops to increase students knowledge of the various career opportunities available.

Financial aid/VA benefits means workshops or individualized assistance to help participants complete various financial aid applications, including veteran military benefits, scholarship applications, U.S. Department of Education federal student financial aid applications, and state applications for financial aid

Cultural activities means any project sponsored activities, such as field trips, special lectures, and symposiums, that have as their purpose the improvement of the project participants' academic progress and personal development.

Campus visitations means project sponsored trips to postsecondary institutions for the purpose of acquainting students with institutions that the project participants may wish to attend.

College admissions assistance means workshops or individualized assistance to help participants complete college entrance applications or other documents for the college admissions process

College entrance exams preparation means workshops, tutoring, or individualized assistance specifically designed to help students meet scoring requirements on national or state standardized tests given to students for admission into a postsecondary educational institution.

Information workshops includes a variety of short workshops or seminars (usually a half day or less) on topics that may range from stress management and test taking to drug and alcohol abuse.

Fields #38 - 47 Referrals

Complete these fields only for those project participants who were served during the reporting period. **Leave these fields blank for prior year participants.**

The referrals listed are some of the formal and informal network of social service programs and community organizations that are available to assist Veterans. If the project referred a project participant to one the listed services, use a "1" for yes; otherwise, use a "2" for no.

Fields #48 - 51 Veterans Upward Bound Math-Science Programs

If the project completing this report is not an Upward Bound Math/Science project, leave this section blank.

Field #48 Recruitment of UBMS Participant

This field is included to gain information on a participant's involvement with other TRIO programs.

Use the following definition to complete fields # 49-51.

Activities with professional mathematicians and scientists mean intensive workshops, symposiums, tutorials, instruction, and experimental activities conducted by professional mathematicians and scientists for the purpose of encouraging students to enroll in math and science programs in postsecondary education

Activities with math and science majors mean tutorials, supplemental instruction, experimental activities, and mentoring from college students majoring in math and science.

Research activities means experimental activities in math and science to study and/or apply the different types of disciplines to increase a student's understanding of how scientific research is conducted and/or mathematical concepts are applied.

Fields #52 - 60 Postsecondary Information

In these fields, please report on current and prior year project participants who have completed the education requirements needed to enroll in a program of postsecondary education.

Enter "9s" as specified in these fields for project participants who have completed their secondary education but who have not yet enrolled in a program of postsecondary education.

Enter "0s" in these fields if the postsecondary status of project participants is unknown.

Leave these fields blank for project participants who have not yet completed the education program offered by the project.

Fields #54 - 55 School Code for Postsecondary Institutions

Provide the Title IV School Code/OPE ID Number (Office of Postsecondary Education Institutional Number) for the postsecondary institution the Upward Bound participant first attended (field # 54) and for the institution the participant was enrolled in at the end of the reporting period (field # 55). This is a six-digit number that is required on all Federal financial aid documents. Information regarding this number is included in Title IV School Code Directory and can be accessed on the World Wide Web:

<http://www.ed.gov/offices/OSFAP/Students/apply/search.html>.

Field #56 Student Financial Aid Awarded for Postsecondary Attendance

Report on the types of financial aid awarded (or to be awarded) current year participants who have enrolled or will enroll in a program of postsecondary education for the next academic term. You need only to report this information for the student's first enrollment in a program of postsecondary education. This information for this field may be obtained from the student's financial aid report or may be self-reported.

Fields #57 – 60 Postsecondary Status

For all current year and prior year participants whose postsecondary education status is known, provide information on the student's postsecondary enrollment status during the reporting period, the student's college grade level and academic standing at the end of the reporting period, and if applicable, the degree or certificate completed. For those individuals who have completed their secondary education but who were not enrolled in a program of postsecondary education during this reporting period, use "9s" for "Not Applicable." For those individuals who could not be located, use "0s" for "Unknown."

In determining the student's postsecondary grade level, use the criteria of the student's postsecondary institution regarding grade level classifications and academic standing. Most postsecondary institutions use credits earned and grade point average to determine the college grade level.

For field # 60, indicate the highest degree completed during the reporting period. For students who have not yet completed their program of study, use "8."

SECTION III – OTHER PROJECT OBJECTIVES

In this section briefly state your approved objectives and report on the extent to which your project achieved each of these objectives. Provide specific data to support the accomplishment of each objective. If you did not meet any of your project objectives, please give a brief explanation of the causes and how you will improve on the performance in the next project (reporting) period.

Keep in mind that the annual performance report will be used to assess your project's prior experience, so it is imperative that you provide sufficient information to determine your project's success in meeting the purposes of the Upward Bound, Upward Bound Math-Science, and Veterans Upward Bound program.